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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	0609.4540003/JAG/HLK
First Inventor	Ashley I. BUSH
Title	Use of Cloiquinol for the Therapy of Alzheimer's Disease
Express Mail Label No.	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents

**ADDRESS TO:**Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 20]  
(preferred arrangement set forth below)  
- Descriptive title of the Invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 6]  
a. ☐ Newly executed (original or copy)  
b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76.
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program  
(Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

jc857 U.S. PTO  
09/972913  
10/10/01**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [ ] Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 [ ] Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Two (2) Return Receipt Postcards (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Authorization under 37 C.F.R. § 1.136(a)(3)  
☒ Other: Copies of Petition Under 37 CFR § 1.47(a) and Declaration of Facts Under 37 CFR § 1.47(a) as filed in US Appl. No. 09/560,887

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/560,887  
Prior application information: Examiner McQueeney, P. Group/Art Unit: 1615

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only relied upon when a portion has been inadvertently omitted from the submitted application parts.**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label  
Customer No. 26111or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.			
	Attorneys at Law			
ADDRESS				
CITY		STATE		ZIP CODE
COUNTRY		TELEPHONE		FAX

NAME (Print/Type)	Heidi L. Kraus	Registration No. (Attorney/Agent)	43,730
SIGNATURE		Date	10-10-01

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**(\$)**1,442.00****Complete if Known**

<b>Application Number</b>	<b>To Be Assigned</b>
<b>Filing Date</b>	<b>Herewith (October 10, 2001)</b>
<b>First Named Inventor</b>	<b>Ashley I. BUSH</b>
<b>Examiner Name</b>	<b>To Be Assigned</b>
<b>Group Art Unit</b>	<b>To Be Assigned</b>
<b>Attorney Docket No.</b>	<b>0609.4540003/JAG/HLK</b>

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account  
Number

19-0036

Deposit Account  
Name

Sterne, Kessler, Goldstein &amp; Fox P.L.L.C.

- ☐
- Charge Any Additional Fee Required
- 
- Under 37 CFR §§ 1.16 and 1.17

- ☐
- Applicant claims small entity status
- 
- See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

- ☒
- Check
- ☐
- Credit card
- ☐
- Money Order
- ☒
- Other\*

\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1) (\$)** 740.00**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	481	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 0.00**2. EXTRA CLAIM FEES**

2. EXTRA CLAIM FEES		Extra	Fee from below	Fee Paid
Total Claims	45 - 20** =	25	X 18.00	= \$450.00
Indep. Claims	6 - 3** =		X 84.00	= \$252.00
Multiple Dependent				=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim
108	84	208	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)** 702.00

\*\* or number previously paid, if greater; For Reissues, see above

**SUBMITTED BY**

Name (Print/Type) Heidi L. Kraus

Registration No.  
(Attorney/Agent)

43,730

Telephone

202-371-2600

Signature

Heidi Kraus 10/10/01

Date 10-10-01

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
SKGF Rev. 10/01/01 mnaac

**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

ATTORNEYS AT LAW

1100 NEW YORK AVENUE, N.W. • WASHINGTON, D.C. 20005-3934

PHONE (202) 371-2600 • FACSIMILE (202) 371-2540 • www.skgf.com

10/10/01  
09/972913  
PTO  
U.S. 857

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1059 U.S.

ROBERT GREENE STERNE  
EDWARD J. KESSLER  
GEORGE A. GOLDSTEIN  
JACQUEL L. FOX\*\*\*  
DAVID K.S. CORNWELL  
ROBERT W. ESMOND  
TRACY-GENE G. DURKIN  
MICHELE A. CIMBALA  
MICHAEL B. RAY  
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PATRICK E. GARRETT  
JEFFREY T. HELVEY\*  
HEIDI L. KRAUS  
JEFFREY R. KURIN  
PATRICK D. O'BRIEN  
LAWRENCE B. BUGAISKY  
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TIMOTHY M. SPEER\*\*  
AARON L. SCHWATZ\*\*

\*LIMITED TO MATTERS  
AND PROCEEDINGS BEFORE  
FEDERAL COURTS & AGENCIES  
\*\*REGISTERED PATENT AGENT  
\*\*\*SENIOR COUNSEL

October 10, 2001

WRITER'S DIRECT NUMBER:

(202) 789-5511

INTERNET ADDRESS:

HKRAUS@SKGF.COM

Commissioner for Patents  
Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
(Continuation of Appl. No. 09/560,887; Filed April 28, 2000)  
Appl. No. To be assigned; Filed: Herewith  
For: **Use of Clioquinol for the Therapy of Alzheimer's Disease**  
Inventors: BUSH *et al.*  
Our Ref: 0609.4540003/JAG/HLK

Sir:

The following documents are forwarded herewith for appropriate action by the U.S. Patent and Trademark Office:

1. PTO Fee Transmittal (Form PTO/SB/17) (*in duplicate*);
2. USPTO Utility Patent Application Transmittal Form (PTO/SB/05);
3. Application Data Sheet Under 37 C.F.R. § 1.76;
4. U.S. Utility Patent Application entitled:

**Use of Clioquinol for the Therapy of Alzheimer's Disease**

Commissioner for Patents  
October 10, 2001  
Page 2

and naming as inventors:

Ashley I. BUSH  
Mikhal XILINAS  
Rudolph E. TANZI  
Robert CHERNY

the application consisting of:

- a. A specification containing:
  - i. 18 pages of description prior to the claims;
  - ii. 1 page of claims (11 claims);
  - iii. a one (1) page abstract;
- b. 5 sheets of drawings: (Figures 1-2, 3A, 3B, and 4);
5. Copy of the Declaration, executed by Ashley I. BUSH, Rudolph E. TANZI and Robert CHERNY, as filed in U.S. Appl. No. 09/560,887 (totaling 6 pps);
6. Copy of Petition Under 37 C.F.R. § 1.47(a), with Appendix A, as filed in U.S. Appl. No. 09/560,887 (2 pps);
7. Copy of Declaration of Facts Under 37 C.F.R. § 1.47(a), with Exhibits, as filed in U.S. Appl No. 09/560,887 (2 pps);
8. A Preliminary Amendment;
9. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (*in duplicate*);
10. Two (2) return postcards; and
11. Our Check No. **32811** for **\$1,442.00** to cover:  
**\$740.00** Filing fee for patent application; and  
**\$702.00** Fee for excess claims.

Commissioner for Patents  
October 10, 2001  
Page 3

Send correspondence to Customer Number 26111.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Heidi L. Kraus  
Attorney for Applicants  
Registration No. 43,730